CHAPTER 4

THE MANAGEMENT PROCESS

LEARNING OBJECTIVES

Upon completion of this chapter, you should be able to do the following:

1. State the purpose of delegating authority and responsibility for departmental functions to subordinates.
2. State the need for assigning responsibility for accomplishment of department work schedules.
3. Assess the need for providing task performances to division chiefs.
4. Describe the methods used to assign responsibilities for accomplishment of unit work schedules.
5. Describe the requirements needed to apply appropriate techniques for fiscal responsibility, production, efficiency, and personnel administration.
6. Identify the procedures for establishing departmental timelines.
7. Explain work requirements from command or departmental instructions and documents.
8. Determine progress of overall department work efforts.
9. Identify work requirements from operational schedules.
10. Describe the procedures used to coordinate work scheduling at the departmental level.
11. Describe the procedures used to coordinate work requirements within and between department lines.
12. State the need for coordinating department work with other departments.
13. Recognize the status and impact of department work on other departments.
14. Describe department material and personnel readiness.
15. Define department work requirements.
16. Assess the need to prioritize overall work.
17. Identify the need to monitor policy being developed at subordinate levels.

Senior or master chiefs, regardless of the billet they are filling, must be able to continually translate missions, projects, and tasks into action by their subordinates. This chapter describes the process by which this is done. There is no set form, procedure, or order of solution that can apply equally to all situations. The procedures in this chapter are intended to make sure no essential aspects of a problem are overlooked. The outcome of your planned action is the final measure of its success.

LEADERSHIP

The following is the Navy's definition of leadership: the art of influencing people to progress toward the accomplishment of a specific goal. Leadership, then, is the art of accomplishing the Navy's mission through people. It consists of such qualities as intellect, understanding, and moral character. These qualities allow a leader to inspire and motivate a group of people to do the very best they can. To be truly effective, a good leader must set a personal example and demonstrate moral responsibility. Leadership is an integral part of good management.

Good leadership provides the motivating force that leads to coordinated action and unity of effort. Personal leadership is fused with authority and a leader must encourage, inspire, teach, stimulate, and motivate all individuals of the organization. The leader encourages personnel to perform their respective assignments well, enthusiastically, and as a team. Leadership must ensure equity for each member of the organization. Concerning

actions in his or her area of responsibility, the leader should never allow a subordinate to be criticized or penalized except by himself or herself or such other authority as the law prescribes.

EFFECTIVE LEADERSHIP

The special authority and responsibility granted to you is an example of position power. The mere fact that you are a manager, however, does not make you an effective leader. Some managers are highly effective leaders; others are rather ineffective. We emphasize this point because one popular idea is that position power closely relates to effective leadership. This may or may not be true. In today's complex and technical Navy, the traditional form of "heroic" personal leadership is changing to a manager form. The wide range of skills we need to accomplish our goals requires us to take an active part in the team effort of decision making. In most cases, the "ours is not to wonder why, ours is but to do or die" approach is outmoded. Today's approach puts greater emphasis on human relations and group motivation as a means of achieving effective performance.

LEADERSHIP VARIABLES

Leadership is a function of three broad variables: (1) the characteristics of the leader, (2) the characteristics of the followers, and (3) the characteristics of the situation involving the leader and followers. Numerous studies show that a leader's effectiveness depends on that person's ability to relate to these variables in choosing the appropriate style of leadership. When leading sailors who are highly dependent and insecure, you no doubt use a somewhat autocratic style. Your style is firm, with clear procedures and firm directions. In this situation you must be Psychologically strong. When your subordinates are emotionally mature and perform in a creative, self-motivated manner, these tactics are destined for failure.

Of course, you are unlikely to have workers who all fall into one category. Also, situations tend to change from minute to minute. Therefore, you must focus on all three variables all the time. Two of the qualities a leader needs to deal within this constantly shifting relationship of leader, follower, and situation are flexibility and social sensitivity, Social sensitivity refers to your ability to think and feel what the other person is thinking and feeling. Flexibility is your ability to behave appropriately in dealing with others.

Leaders often overlook the first variable. You must be constantly aware of your own reactions and feelings. Leaders with high sensitivity and flexibility are usually emotionally mature. The more leaders have "worked through" their own biases, prejudices, fears, and anxieties, the more personally aware they are. These personal hang-ups often prevent leaders from being as effective as possible. Personal awareness of how these hang-ups affect your actions helps minimize their effects on your leadership decisions.

AUTHORITY

As a manager you have many responsibilities. To accomplish your mission, you must often delegate specific tasks to subordinates. In addition to delegating the task, you must also delegate the authority necessary to carry it out. Always remember that, although you may delegate a task to a subordinate, you retain responsibility for its accomplishment. Managers have several types of authority.

Legal Authority

The *Unform Code of Military Justice (UCMJ)* sets forth your legal authority. Your orders are backed up by the punitive articles that provide punishment for a subordinate's insubordinate conduct or failure to obey a lawful order. Some *UCMJ* articles provide you with the power to "quell all quarrels, frays, and disorders" among persons subject to the *Uniform Code.* Others give you the power to apprehend anyone (subject to certain prescribed conditions) suspected of having committed an offense against it.

Earned Authority

Besides legal authority, and at least as important, is that authority you earn for yourself. Earned authority grows out of the respect a leader commands. It stems from leadership qualities that make others obey even if no law requires them to do so. Since America was founded on the principles of individual freedom and individuality, its leaders must be able to inspire cooperation as well as to enforce obedience.

Moral Authority

This is the authority that makes a person step in and take over when an emergency arises and action is required. Good leaders will take action even though the emergency is not technically their responsibility. Moral authority is a matter of individual conscience that cannot

be written into law. The assumption of this authority leads some to perform actions "above and beyond the call of duty." It leads others to do their everyday jobs better than they really have to. Authority, then, lies in the law, in the respect of your workers, and in your own ability to lead.

General Authority

All persons in the naval service are required to maintain good order and discipline to the best of their ability and extent of their authority. All persons in the naval service have the right to exercise proper authority over those persons subordinate to them. Conversely, all persons in the naval service are charged to obey readily and execute promptly all lawful orders of their superiors.

Limits of Authority

Authority includes the right to require actions of others by oral or written orders. Orders must be lawful and not characterized by tyrannical or capricious conduct, or by abusive language. Organizational authority beyond that necessary to fulfill assigned duties and responsibilities is not delegated. Authority should never be delegated beyond the lowest level of competence and may be limited by command.

DELEGATING AUTHORITY

Delegating authority means a person in authority may send another person to act or transact business on his or her behalf. Delegating authority does not relieve a person of responsibility. Personnel at each level should delegate as much decision making authority as possible to the level below them and hold those people accountable. This accounting gives the person to whom the individuals report an account of their success or failure.

PURPOSE OF DELEGATING

Many managers have great difficulty delegating authority (power). Delegation is not giving away power. Power-motivated managers make their subordinates feel stronger through sharing their power. You retain responsibility when you delegate power; indeed, you cannot give away or delegate responsibility.

When delegating a task, also delegate the authority necessary to carry out a task. Failure to do this negates the purpose of delegation. Withholding power results in less confident subordinates who are afraid to attempt projects for fear of failure.

In today's Navy, personnel cuts and reductions in force among officer ranks is commonplace. Many senior and master chiefs now fill billets formerly occupied by officers. You may not be commissioned, but the responsibility goes with the position. You cannot "do it all" and still hope to do a good job. Delegation is an essential part of management. Learn to use it and reap the benefits. Your subordinates will learn to act with confidence and a sense of responsibility that is only learned through experience. Your own job will be much easier, with more time for training future managers.

Managers are often guilty of delegating burdensome tasks that should remain at their level. A manager must know when to delegate and when to do a task personally. Avoid overtasking your subordinates. If a particular job needs your personal attention, it should not be delegated. Delegation is a tool you should use to manage your time so that you will be able to perform these tasks.

RESPONSIBILITY AND ACCOUNTABILITY

Standard Organization and Regulations of the U.S. Navy (SORN), OPNAVINST 3120.32B, states the following: "Authority should be delegated to the lowest level of competence commensurate with the subordinate's assigned responsibility and capabilities. The principles of delegation also recognize, however, that officers at all levels must be accountable ultimately for the performance of their organizational segments even if they have charged subordinates with immediate authority for managing certain functions."

GUIDELINES FOR DELEGATING

To follow through on planning and organizing and optimizing use of resources, you must delegate effectively. To delegate effectively, you must exercise the following leadership traits:

- Clearly delegate authority for task accomplishment to others.
- Use the chain of command to get your people to share in task management.
- Encourage your people to seek responsibility by ways other than direct orders to do a job.

Effective delegation is not just assigning work; it also includes motivating your people by extending to

them increased authority, challenge, and control over their work.

There are two assumptions of effective delegation: The clearer the idea a subordinate has of what is to be done, the better the chances of its being done. The greater the sense of accomplishment a subordinate gets from a task, the greater the person's motivation to do the task.

The following four steps of effective delegation put the assumptions we have discussed into practice:

Step 1. Identify the basic task that must be done and present the information to the person you have decided should do the task. Frequently, these tasks come from above in the chain of command, or they may be routine jobs you assign to a worker. In either case, your job is to gather information about the task and to pass it to the person you have delegated to do the job.

Step 2. You and your subordinate agree on and set objectives to be accomplished to get the task done by some designated date and time.

Step 3. You and your subordinate agree on a work plan, as well as plans for measuring progress and results. Involving your subordinates in setting objectives and developing work plans is one way you can increase their commitment and sense of responsibility.

Step 4. Give the subordinate the challenge and authority to achieve the objectives; however, you are responsible to your superiors for the results. In this step you must clearly communicate an understanding of the tasks. You must also communicate the nature of the reward or discipline that may result from whether or not the task is accomplished.

Many of us fail in delegating authority. We fail not because we do not understand the principles of delegation but because of our inability or unwillingness to apply the principles in practice. Much of the reason for our failures lies in our personal attitudes toward delegation.

A leader who is able to effectively delegate has an open mind and is willing to give other people's ideas a chance. Decision making always involves some discretion. This means a subordinate's decision probably will not be exactly the same as the decision you would have made. To be an effective delegator, you must welcome subordinates' ideas and praise them for their ingenuity.

As a responsible Navy leader, you cannot sit back while a subordinate makes a mistake that might endanger the organization or the subordinate's position in the Navy. However, continual checking on a subordinate to make sure mistakes are never made makes true delegation impossible. We all make mistakes; therefore, allow your subordinates to have their share.

You can help your subordinates avoid serious or repeated mistakes without hindering delegation or development of subordinates in several ways. You can counsel with them, ask leading questions, and carefully review objectives and policies.

Closely allied with letting others make mistakes is trusting your subordinates. As a leader who delegates, you have no alternative but to trust your subordinates. Delegation in and of itself implies a trustful attitude. You may be tempted to put off delegation; you may think to yourself, subordinates are not well-enough seasoned, cannot handle people, have not developed judgment, or do not understand the facts of the situation as well as I do. These assumptions may sometimes be true. Then your duty is to train your subordinates or to select others who can assume delegated authority.

Some people may be guilty of not delegating for one or more of the following reasons: They may not want to release their control over the job. They also may not know how to delegate wisely or know how to set up controls to assure proper use of their authority. Do not be guilty of not delegating for these reasons.

MICROMANAGING

Micromanaging is when you tell your workers how to do a job and then supervise every step rather than allowing their assigned supervisors to run things. Once you have delegated a task, let your subordinate do the job. Be available to give advice and instruction if needed; but unless your assistance is required, stay out of the way. General George S. Patton once said "Never tell people **how** to do things. Tell them **what** to do and they will surprise you with their ingenuity." Micromanaging lessens a subordinate's self-confidence. It also sends a message to others that you do not trust the person to do the job properly. If you really feel this way, do not delegate the task.

GIVING ORDERS

You have no doubt heard the term **followership.** Leadership and followership are two sides of the same coin. Virtually everyone from the commander in chief

to a working party supervisor gives and receives orders. A leader must set the example when following orders as well as when giving them. Giving orders effectively is an art form. You must first ensure the order is necessary. Inappropriate or unnecessary orders produce conflict, confusion, and ill will.

As a midlevel manager, the majority of orders you give originate at a higher level of command. You are simply passing the orders along. How often do you use the following manner to give your workers such orders: "LT Jones says we have to have personnel inspection every morning." This method of giving orders is common but wrong. When YOU give an order, state it as YOUR order. What do I mean by this? Here is an example: "Beginning tomorrow, we will hold personnel inspection every morning." In this manner you build your own authority with your subordinates. But why does it matter? One day the need may arise for you to take charge in an emergency or during a superior's absence. Passing orders in the proper manner preconditions your workers to respond to your commands.

PROVIDING LEADERSHIP GUIDANCE

The Navy intends that chief, senior chief, and master chief petty officers occupy a position of esteem and general respect. This distinction is crucial to the manner in which our ships operate at sea. Over the years the smooth operation of our ships has proven the wisdom and success of this policy.

Since the time you began to wear the chief petty officer hat, both your superiors and subordinates have looked to you with esteem and respect. Since that time, you have also gained a broad managerial and administrative background. That background makes you responsible for the training and guidance you provide your subordinates, peers, and superiors. Because of the wisdom and knowledge you have gained through your years of experience, they depend on you for leadership.

Leadership is intangible, hard to measure, and difficult to describe. Its qualities include the following:

- A measure of inherent ability to control and direct
- Self-confidence based on expert knowledge
- Initiative
- Loyalty
- Pride
- A sense of responsibility

Even if people do not have a natural ability to lead, they have dormant leadership qualities they may not know about. Learning, or teaching others, to develop those leadership qualities is not easy, but can be done. Remember, the Navy can and does make leaders.

JUNIOR OFFICERS

At this point in your career, you should understand the difficult role of the junior officer assigned as a division officer. As a senior or master chief, you need to be understanding of the predicaments junior officers often find themselves in. They lack experience and technical know-how, but nevertheless must take their place as leaders within the chain of command.

Most junior officers report aboard their first duty station with limited leadership experience. As a senior or master chief, you need to be sensitive to that and support the development of these junior officers. One way you can do that is by suggesting to your division officer what can be done and what should be done to solve leadership problems. Also, tactfully let your division officer know if he or she is charging off in the wrong direction. To do otherwise could be counterproductive and would do nothing to strengthen your division officer's confidence in you.

The Navy places considerable emphasis on the treatment a chief should accord a junior officer. You should be careful not to provide too much negative criticism. That will cause a young officer to become reluctant to make future decisions for fear of more criticism. The fear of repeated negative criticism will produce an outcome directly opposite to what you are trying to achieve. Your goal is to build your junior officer's confidence in his or her leadership ability. Even if you disagree with your division officer's final decision, do not undercut him or her by saying so in public. Also do not tolerate criticism of your division officer in public on the part of the crew.

Your division officer may be required to execute a decision made by someone higher in the chain of command. In such cases, the division officer will know what must be done but must rely on your support, knowledge, and experience to accomplish the task successfully. The division officer may have difficulty not showing resentment when a chief makes suggestions about a plan he or she has put together. However, as an experienced chief, you may have just as much difficulty accepting an unseasoned officer's decision not to take your well-intended advice. Rather than waiting for a

request for your opinion, tactfully offer your thoughts on the subject. To refrain from speaking up when you know of something the inexperienced officer should be aware of can be disastrous. Regardless of your position in the chain of command, always provide the best example of leadership and professional guidance possible.

Inexperienced officers look to their chiefs to see how they grasp a situation and how they make decisions. That is part of the self-education process a leader cannot get from a classroom or from books. Sometimes young officers believe they know more than the chief; when they find out they do not, they have contributed to their self-education.

IN THE CPO MESS

You may recall seeing a poster displayed in many chiefs' quarters, messes, and clubs that says: "WHAT YOU DO, SEE, HEAR, AND SAY here, stays HERE."

The chiefs' mess is a relaxed, amiable, and popular meeting place. The degree to which the chiefs socialize together often reflects their cohesiveness. The mutual bond and high morale of the chiefs' quarters are in part the result of a strong leader. The leader maybe a formal leader, like the command master chief, or an informal leader who leads through charisma or superior know-how. This person's enthusiastic support and encouragement of others sets high standards for command personnel. Whether in formal or informal situations, the chiefs respect this person. They know the person is competent and trust him or her to stand up for their interests and those of the crew. The commanding officer and executive officer often seek this leader's advice about the morale of the crew and other matters concerning enlisted personnel. The majority of the members of the chiefs' mess usually agree on who this person is.

The chiefs' mess as a group is a solid, disciplined team. The members talk to each other, coordinate well, and solicit input from each other. They treat each other with professional respect. A strong part of this bond results from the collective confidence of being the best and not settling for less.

PLANNING

As Rudyard Kipling pointed out when asked to explain his journalistic success, effective plans revolve around the answers to six basic questions:

1. What must be done?
2. When must it be done?
3. Where will it be done?
4. How will it be done?
5. Why must it be done?
6. Who will do it?

Until these questions are answered, you will be unable to choose an effective course of action.

TYPES OF PLANS

Planning and plans are typed or classified by their characteristics and purpose. The following is the general criteria for classifying plans:

- Functional area–The general field to which the plan applies, such as personnel, administration, operations, and safety
- Time factor–Long, medium, or short-range plans
- Characteristics-Cost, detail, and complexity
- Level affected–Force, command, department, division, or work center
- Action require-Most often performed actions, such as research and development, staffing, and mission operations

These criteria are used to classify plans into three general groups. These are one-time or single-use strategic and standing plans.

Single-Use Plans

Single-use plans are essentially one-time use plans having a specific goal or objective. They may run for a few days or last several years. Projects, programs, and budgets are commonly thought of as single-use plans.

Strategic Plans

Strategic plans are concerned with overall mission. They define unit objectives and goals. Strategic plans give you "the big picture."

These plans are designed to provide long-range guidance. They provide a base line for other plans. Once mission and objectives have been defined, strategies can be developed to meet them. Strategic planning must remain flexible enough to accommodate shifts in policy or action by our own government and other nations. They must include alternate or contingency plans in anticipation of foreseeable changes.

Standing Plans

Standing plans consist of policies, procedures, and regulations. They exist to guide you in the absence of higher authority. They enable you to make rational, informed, consistent decisions and plans without constantly consulting higher levels of command. Standing plans exist until canceled or changed by higher authority.

POLICIES. —Policies are an expression of top management's attitudes toward specific actions or events. You are required to abide by Navy policies whether or not you agree with them. Examples of policy are equal opportunity programs, promotion policies, fraternization, and zero tolerance.

PROCEDURES. —Procedures establish the sequence and accuracy required for you to accomplish specific actions. You, as a manager, establish procedures to accomplish many routine jobs such as check-in or check-out, maintenance actions, preventive maintenance, inspections, and predeployment preparations.

When a procedure has become obsolete or requires modification, change or cancel it! Considerable time and effort is wasted every day through compliance with outdated procedures.

When procedures cross departmental lines, you must coordinate with the other departments to avoid confusion and ruffled feathers. Well-thought-out procedures, however, will make your life easier. They put routine matters on automatic pilot and allow you to concentrate on managing the exception rather than the rule. Good procedures will do the following:

- Free the manager's time from routine matters
- Ease coordination
- Save man-hours
- Increase efficiency and effectiveness
- Increase your control
- Simplify delegation of authority
- Clarify responsibility

REGULATIONS. —Regulations are often used to effect policies and plans. They provide specific direction concerning required or prohibited actions in given circumstances. Regulations frequently carry a penalty for noncompliance. You are already familiar with many regulations such as the following:

- Hair length and style restrictions
- Hearing protection requirements
- Smoking restrictions
- Safety requirements
- Uniform requirements

PROGRAMS. —Programs set objectives and specify the main steps or actions you must take to obtain them. A comprehensive program will provide information concerning the following:

- Step-by-step goals
- Policies
- Rules
- Required physical and human resources
- Strategies

PROJECTS. —An effective way for you to deal with program management is to break the program goals into manageable projects. A project should have a clearly defined goal with a definite beginning and end. This approach to major or complex objectives will give you greater flexibility in scheduling, planning, and delegation. It allows you, the manager, to concentrate on managing the various aspects of the program while dividing the detail work among your subordinates. A side benefit of this technique is increased involvement and program support from your subordinates. People are just naturally more interested in something they are personally involved in because it becomes "our project" instead of "their project."

PLANNING STEPS

In planning, you should think ahead and select the best course of action to reach an objective. Your plan forms the basis for future management actions. Develop all the steps required to conduct a smooth operation and watch it move toward the objective. Every plan, whether simple or complex, written or mental, contains certain essential elements: an objective, resources, procedures, and controls. Planning becomes easier if you follow a logical sequence in your thinking. The following steps may be helpful:

- Analyze the objective.
- Evaluate the situation.
- Consider all possible alternatives.

Ž Select the best course of action.

Ž Develop an alternate plan.

• Test plans for completeness.

Following this sequence will not always assure a good plan, but it will eliminate many problems and pitfalls you would normally encounter in planning.

Analyze the Objective

First, you must break the objective into components and establish relationships among them. You must answer the questions: What specific operations must I achieve to accomplish the objective, and how are those operations related to each other? Then you must analyze each operation to determine what is needed to perform it. In this way, you form specific tasks. By grouping these tasks, you can determine the specific jobs to be assigned.

Evaluate the Situation

When you evaluate the situation, try to determine what you need to reach your goal. Use your knowledge and experience to examine available resources, policies, and procedures. Do you have enough manpower, supplies and equipment, space, and time to get the job done? How about your standard operating procedures (SOPs) and policies? You may need to coordinate with other managers and/or staff personnel to get what you need. If some are unable to help you, this will have an impact on your plans. To evaluate, in this case, means you must look at the situation carefully before you begin operations.

Consider All Possible Alternatives

Now that you know what has to be done and what is available, you are ready to consider how to do it. The objective, available resources, and situation all tend to limit your alternatives. One very effective technique for generating alternatives is "brainstorming." Gather a group of people (your workers, peers, and other concerned managers are excellent resources), explain the objective, what resources are available, and any existing limitations. Then ask for ideas. You must resist the temptation to arbitrarily prejudge or discard possible courses of action. Often a half-baked scheme will trigger a better idea from another source.

Selecting the Best Course of Action

After you have met with your people, choose the best course of action to carry out the mission. In making this decision, consider the methods and techniques required by each possible course. Determine which methods are most appropriate and which to avoid. If you choose a widely different course of action from that followed in the past, be prepared to design and develop new techniques as needed. Make sure your action will meet all required deadlines. Also, be certain that your plan fits the assigned objective, is feasible under present circumstances, and will dovetail with the command mission and established policies. You may develop a beautiful plan; but if the manpower requirements for it are out of line with available resources, you will be fighting an uphill battle.

Once you have decided on a viable plan, you must design controls for the process. Good controls will allow you to keep in touch with the effectiveness and efficiency of your plan. They will let you identify and correct problems before they reach epic proportions. A good plan must be flexible enough to respond to required adjustments dictated by the control process.

Develop an Alternate Plan

Once you have developed a gem of a plan, expect it to fail! An alternate plan can save the day if the worst should happen. If conditions should change or resources should suddenly become unavailable, your original plan could well become unworkable. So develop a full-blown alternate plan at the beginning; you may not have enough time later.

Test All Plans for Completeness

After you have selected the best course of action and an alternate plan, check them both for completeness. Do they answer the six questions what, when, where, how, why, and who? Are they both adequate? Do they comply with current directives? Look at the overall plans and at the details. Another brainstorming session designed to pick holes in the plans might help.

THE TIME ELEMENT IN PLANNING

Comprehensive planning can be time-consuming. As a result, you will frequently need to go ahead with the several planning steps without having all the facts. Flexibility is the key to planning under these circumstances. You must allow for changes as new information or alternatives occur. Give due

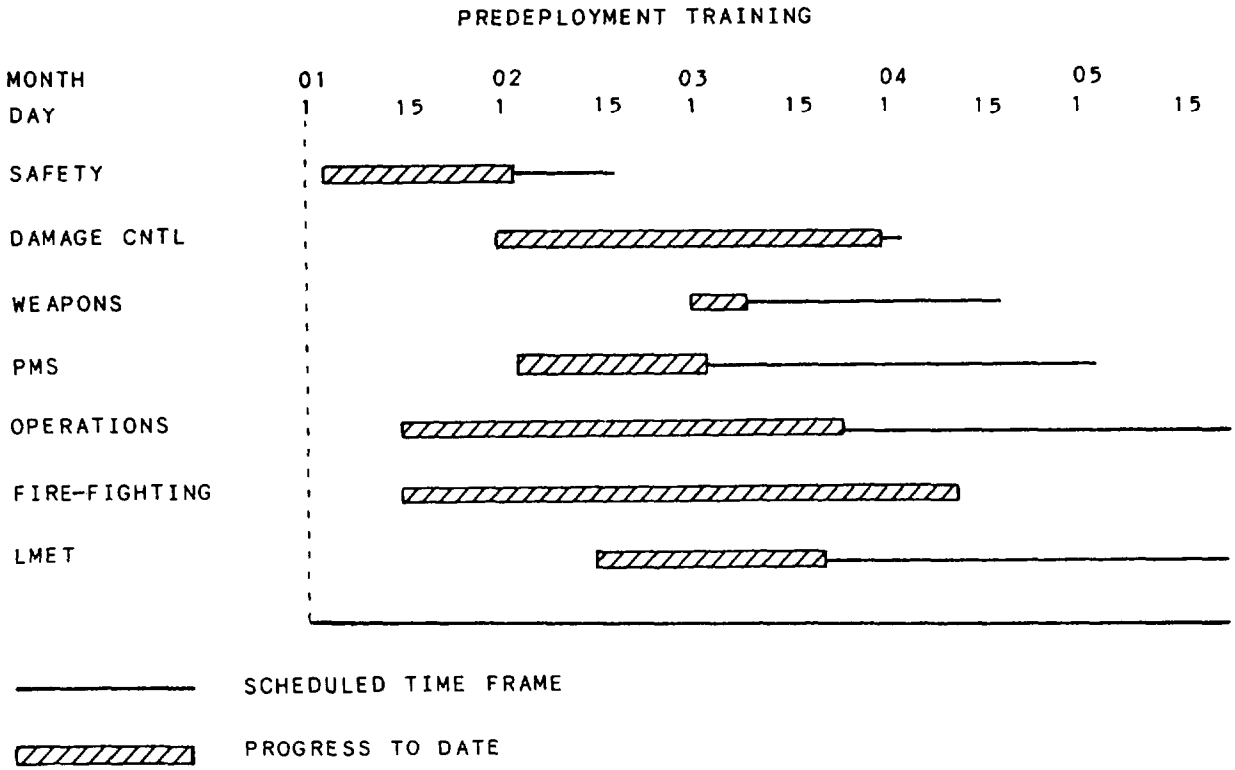

Figure 4-1.-Gantt chart.

consideration to the range or life-span of a plan as well. Plans come in three basic sizes with respect to range: (1) long-range plans, (2) intermediate-range plans, and (3) short-range plans.

LONG-RANGE PLANS

Long-range plans run for 2 or more years and sometimes as long as 30 years. Five-year plans for new construction, manpower, and weapons procurement typically fall into this category. Long-range plans reflect the big picture and are generally reserved for top-level managers. These are the plans people are least likely to understand completely. Another name for long-range plans is strategic plans.

INTERMEDIATE-RANGE PLANS

Intermediate-range plans span 1 to 3 years. Maintenance improvement, weapons systems upgrade, and local manpower plans are typical examples of intermediate-range plans. Intermediate-range planning is normally associated with staff, department, and sometimes division managers.

SHORT-RANGE PLANS

Management forms short-range plans at all levels. They are, however, normally associated with managers at the division, branch, and work center levels. Implementation of new policies, work assignments, and training syllabi are typical short-range plans. These cover a time span from 1 day to 1 year.

TIMELINE (GANTT) CHARTS

Henry L. Gantt, in the late 19th century and early 20th century, refined methods of using graphics to plan, track, and improve performance. Management uses the Gantt chart extensively in project planning.

A project involves a sequence of activities that are performed to achieve a specific goal. The project is composed of several tasks that can overlap, precede, follow, or occur simultaneously.

Typically, as shown in figure 4-1, you would list the tasks required to complete the project down the left side of the chart. This could also show to whom the task has been delegated.

Across the top of the chart you would indicate the time requirements using the time span most convenient to your project–hours, weeks, quarters, and so forth.

A horizontal line to the right of each task indicates the scheduled time frame. Heavy lines or bars show the actual start, progress, and completion of each task.

A simple project such as "Hold Field Day" may not require an elaborate timeline. However, a project such as "Prepare for Command Inspection" would require a schedule so as not to conflict with other tasks in progress within your division or other divisions.

Developing a timeline will increase the probability of the overall success of your project by helping solve the basic problem: how to do more with less. A timeline will also help you meet deadlines and coordinate activities.

COORDINATION

Two vital ingredients in coordination are communication, the flow of information up, down, and across the chain of command, and mutual support. By coordination your department works with other departments to give you the status and impact of your work on the other departments. Three factors that could impede a coordinated effort are (1) synchronization, (2) scheduling conflicts, and (3) resources.

By setting up both formal and informal methods for exchanging information, you make sure problems and requirements that have a significant bearing on the overall success of a project are addressed.

No matter how well you run your own division, you will find cooperation and coordination of work requirements essential for achieving the command's goals.

It is easy to understand why it is counterproductive to have your work force "waiting their turn" to use resources such as crane services, vehicles, or other equipment rather than being gainfully employed.

Projects and tasks that occur at the same time can strain resources (people, material, and money). You must take measures to synchronize the use of physical and mental energy to accomplish the job efficiently and successfully.

For major events such as predeployment preparations, inspections, or overhaul, synchronizing events create a higher level of commitment and decrease the likelihood of crisis management.

EVALUATING PLANS

The time you spend on planning will depend largely upon your position in the chain of command. Upper-level managers routinely spend over 25 percent of their time planning. Lower-level managers normally spend 10 to 15 percent of their time planning.

All effective managers plan. The character, range, and time invested in a plan depend on the nature and complexity of the plan. They also depend on your level of responsibility and authority with regard to that particular plan.

The criteria most commonly used to evaluate your plans are based on your consideration of the following elements:

- Flexibility
- Simplicity
- Accuracy
- Comprehensive viewpoint
- Cost-effectiveness
- Assignment of accountability and responsibility

FLEXIBILITY

The longer the span of time involved in your plan, the more important flexibility becomes. Your design must be flexible enough to accommodate a smooth transition into alternate plans. The more rigid your plan, the more likely the need will be to change it.

SIMPLICITY

Needlessly complicated plans are an administrative burden to you and the people who must live with them. Some plans are complicated, but you must make every effort to avoid unnecessary steps. This is the same logic that dictates breaking large programs and plans down into more manageable projects. You can help by designing a compartmented plan that will lend itself to the project concept. Such forethought makes monitoring and controlling much easier and will save your time and the Navy's money.

ACCURACY

Does your plan conform to your goal? Are your facts accurate or colored by personal opinion and desires? You must maintain objectivity in the planning process. You must avoid needless ruffles and flourishes

that do not point toward your goal. Tinsel is pretty but expensive.

COMPREHENSIVE VIEWPOINT

Have you gone through all the planning steps? Does your plan cover all vital actions without going into minute, restrictive detail? You must leave room for subordinates to maneuver. Is your plan consistent with command procedures and goals? Your plan should make coordination with other elements of the command easy.

COST-EFFECTIVENESS

Cost-effectiveness applies to more than just dollars. If your plan will provide enough return to justify the time, energy, and personal involvement you (and others) will invest, use it; otherwise, cancel it. One of the hardest things for a manager to do is scrap a lovely, simple plan. If you must cancel a plan, do it yourself; this is easier than having it scrapped by someone else.

SCIENTIFIC METHOD OF PROBLEM SOLVING

How many times during the past months have you found obstacles standing between you and some goal you wanted to reach? Most supervisors could quote a fairly large figure if they could make an accurate tally of the number of problems they have faced. Whenever difficulties block your path to some goal, you have a problem.

Since you do not lead a charmed existence, problems confront you everyday. As a mature person, you probably accept the inevitability of problems, face them realistically, and seek workable solutions. But, unless you have studied the nature of problems and ways to tackle them, you may still be resorting to trial-and-error methods. This often results in your overlooking the best solutions.

Problems can be solved to the advantage of all concerned. The art of problem solving may seem extremely tedious and demanding at first. However, once you master it you will enjoy the benefits of finding the best solution for the problem at hand.

Your duties are demanding. Demands create problems that you must solve, sometimes by yourself but more often with others equally concerned. What better reason could you have to master problem solving? You should remember two principles about problem solving:

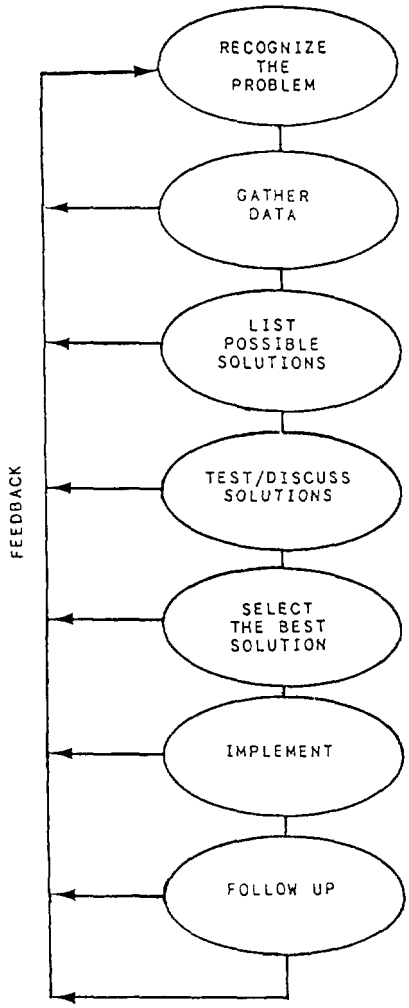

Figure 4-2.-Decision making.

1. Any system is better than no system at all.
2. The ultimate goal of any system is the ability to withhold judgment until all aspects of the problem have been logically considered.

The system we describe here is a way you can remove obstacles and reach the goal in problem solving. The method closely related to the process of scientific investigation is often referred to as the scientific method of problem solving. The method is not foolproof, but it will help you withhold judgment until you have considered all possible facets of the problem and all possible solutions. This is a value of any problem-solving system. It enables you to consider possible solutions without prejudice or bias. Any systematic approach to problem solving will help you to withhold judgment and remain open-minded.

The seven phases of problem salving (or decision making) follow a logical sequence (fig. 4-2). In actual

practice, you will probably need to adjust this sequence to fit the moment. Developments in one phase may cause you to readjust or reconsider factors in a previous step. The following are the seven steps to problem solving:

1. Recognize the problem
2. Gather the data
3. List all possible solutions
4. Test/discuss possible solutions
5. Select the best possible solution
6. Implement
7. Follow-up

RECOGNIZE THE PROBLEM

Can you take a trip without first deciding what method of transportation to use or without knowing where you want to go? Obviously, you must recognize your need to get from one place to another. Secondly, you must know your goals or the place you intend to visit. You must consider the obstacles such as cost, time, available transportation, and routes to take. The above factors contribute to recognizing your problem through analysis of the elements.

GATHER THE DATA

You now have a goal and you have identified the things that stand between you and success. Next, you must get all the information you need to solve the problem. You need to know about road conditions as well as bus, train, and airline schedules and fares. Divide this information into the following categories:

Facts–These are known truths. For example, you can call the highway patrol for road conditions, you can consult schedules for trip times, and a map will provide distance information.

Assumptions–Some data is assumed, such as the accuracy of information concerning fares and possible routes.

Criteria–A criterion is a standard of judging. This is most important in data gathering. It is a rule by which you measure such things as facts, principles, opinions, and assumptions. In problem solving, you should always have some criteria to consider. For example, you might consider criteria such as the following: departure must be between 0800 and 1000, arrival must be before 1700, luggage must include two suitcases and a trunk, and travel money is limited to $75. The criteria will help you decide which method of travel to use. The bus may be too slow. The train may leave too early. Airfare may exceed available funds. Whatever criteria you set up will help you decide between alternatives.

LIST ALL POSSIBLE SOLUTIONS

Where do you find possible solutions? You may get ideas almost immediately. The longer you study, consider, and think about solutions, the more alternatives you will have. Solving the first two steps to problem solving should generate some viable alternatives along the way.

TEST/DISCUSS POSSIBLE SOLUTIONS

In every instance, you should consider each possible solution against the established criteria. Evaluate your solution by asking yourself or others the following questions:

- Is the solution suitable? Will this solution produce the desired results? Will it do the job?
- Is the solution feasible? Do the means for completing the job by this method exist? Can the job be accomplished this way?
- Is the solution acceptable? Is the solution going to be cost-effective? Will it fit command directives? Even if the solution is cheaper, will it be more time-consuming?

SELECT THE BEST POSSIBLE SOLUTION

At this point, you can decide on the best solution by eliminating those that do not meet your criteria. For example, in planning your trip, you may eliminate rail, bus, and air travel because they do not fit your criteria. You may decide that driving your car is the best solution to the problem.

Of course most problems are not this simple. You will frequently find two or more alternatives that meet all your criteria. You must then decide which will be the best. This may well be the hardest part of decision making because it causes you to fall into a mission-oriented frame of reference. Which alternative is best for the overall mission? Which will best dovetail with other ongoing projects? Which pays the most dividends in the long run?

IMPLEMENT AND FOLLOW UP

Put the solution into effect. No problem is solved until action is taken. After all that work making a decision, do not let your work be wasted. Follow up. Get feedback on the progress of your solution. You may need to review and revise your solution as it progresses. Also, failure to follow up shows a lack of interest. Your subordinates may wonder why they should be interested in the plan.

ORGANIZING

Organizing is analyzing the mission, determining the jobs, setting up the structure, and assigning personnel. Since planning and organizing overlap, saying precisely when planning stops and organizing starts is nearly impossible.

The basic procedure of organizing consists of considering mission and resources, putting them in order, and carrying out plans. Factors considered include functions, operations, tasks, material, manpower, money, space, and time. You have four major tasks: set up a structure, determine procedures, establish requirements, and allocate resources.

Organizing is based on mission objectives. Different missions require different types of organization. The mission, however, does not tell you what specific functions, operations, and tasks will be required. It is simply a short statement of the end results expected and is reduced to the following three areas:

1. Functions–General types of work that must be performed to accomplish the mission
2. Operations–Specific jobs that must be done to perform a function
3. Tasks–Individual jobs required to complete an operation

The important thing for you to remember is to break the mission down into the functions, operations, and tasks needed to accomplish it. Then group them by similarities of required skills and equipment. The project concept discussed under planning now comes into play. Once you have grouped the various elements of the mission, you must develop an organizational structure based on that grouping. This structure will provide the channel through which orders will travel, and it will determine the assignment of responsibility and authority. The typical organizational chart is a graphic representation of a unit's structure. It shows the lines of authority and responsibility, the relationships between activities, and the work for which each activity is responsible.

GOALS AND OBJECTIVES

Objectives provide both direction and destination to our efforts. Many managers make decisions without first identifying the goals or objectives and planning the best route for attaining them.

For our purposes, goals and objectives are essentially the same. An objective is the desired end result of your efforts. It should be consistent with your unit mission. Objectives can be stated in broad terms (overall objectives) or be precise (specific objectives). You reach overall objectives through setting and attaining subobjectives specific strategies, policies, programs, and so forth.

To determine objectives, you first must define your unit's overall mission. Your unit's intended function or purpose is its mission.

Areas that need objectives include, but are not limited to, work performance, worker attitudes, retention, productivity, material, and finances.

CONTROLS

What are controls? Controls are everywhere. The governor on an engine, a fire alarm, a circuit breaker, and extra military instruction (EMI) are all examples of controls. You exercise control when you, the manager, take steps to ensure you reach your goals. To achieve control, you must monitor work progress and correct deviations from established standards.

Controls can be total or partial. A smoke detector is a familiar partial control system. It announces the presence of smoke but does nothing to correct the problem. A high-pressure safety valve on a boiler is a total control system. It detects excessive pressure in the boiler and corrects the problem by releasing steam until pressure reaches an acceptable level (established standard).

Although controlling concerns every facet of management, planning and control are intimately related. Sound planning determines the direction of an organization. Good plans establish appropriate controls to keep the organization on track.

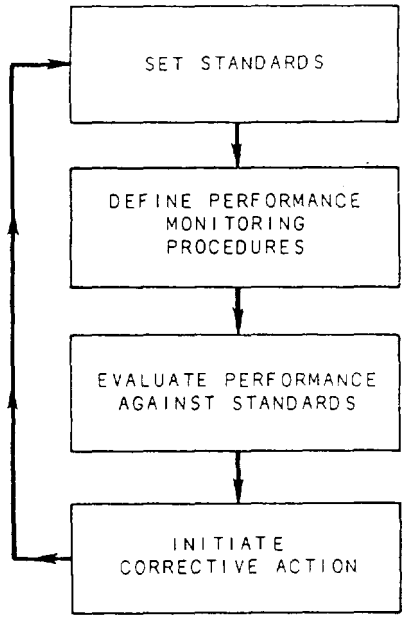

Figure 4-3.-Steps to effective control.

STEPS TO EFFECTIVE CONTROL

The steps to effective control closely resemble planning and organizing steps. See figure 4-3. The following are the four basic steps to controlling:

1. Set standards
2. Define Performance monitoring procedures
3. Evaluate Performance against standards
4. Initiate corrective action

Set Standards

To establish control over a process, you must first decide what standards you will use for reference points. Standards define the goals of your efforts. They express recruiting targets, quality control goals, budget goals, or flight schedules. These are quantitative standards: 14 recruits a month, zero defects, 10 percent spending reduction, or all aircraft full mission capable (FMC) for a sortie. Other standards involve qualitative goals: sharp uniforms, fair selection boards, or improved morale. Qualitative standards are much more difficult to define and control than quantitative standards.

Define Performance Monitoring Procedures

The next step in achieving control is deciding how to measure performance, what information to require, and how to obtain it. Performance data maybe gathered from personal observation, written and oral reports, inspections, and automatic data processing (ADP) products. Keep control procedures as simple and cost-effective as possible. Ensure, however, that they are adequate for the task at hand.

Evaluate Performance Against Standards

Compare performance data to established standards. The results of this comparison indicate where you are in relation to your goals. If everything is on track, take a bow. If things are beginning to stray off course or come unraveled, decide whether or not to take corrective action.

Initiate Corrective action

If performance standards are not being met, you should start corrective action. Examine your monitoring system; is it accurate? Do performance standards accurately reflect mission requirements? Are your standards too high or too low? If your monitoring methods and standards are adequate, examine the production methods and work force factors (morale, leadership, and so forth). Can production efficiency and effectiveness be improved? Is training up to speed? Do leadership and supervisory ability meet your standards? How about morale and environmental conditions. Another possibility is poor planning or organization. You must go to work and get things moving in the right direction again. After all, that is what managers do!

EVALUATING YOUR CONTROLS

Ž Most commands have four key areas of control: financial, inventory, quantity, and quality. Use the following criteria to evaluate your command's controls:

Ž Timeliness–Controls must provide timely detection and correction of problems to minimize wasted time and resources.

Ž Accuracy–Accurate monitoring procedures allow you to pinpoint potential problems for correction.

Ž Acceptability–Controls must be reasonable. Unnecessarily stringent controls generate resistance within the work force. When workers feel there is no trust or fail to understand the need for controls, they may circumvent the system. You are no doubt familiar with the term **gundecking.** You may even know someone who has been guilty of gundecking.

Ž Cost-effectiveness–Controls consume money and man-hours. Unless a control system will save more than it costs to implement, look elsewhere for a solution.

As you apply these principles of control, you must consider the time frame in which your controls operate. Controls operate in three modes in relation to time: feedforward, concurrent, and feedback.

Ž Feedforward control–This control, the most dynamic of the three, is designed to discover problems before they occur. Drawbacks to feedforward control are the heavy investment of time and the detailed management required to make this system work. A maintenance manager who adjusts leave and liberty schedules to meet anticipated workloads is practicing feedforward control.

Ž Concurrent control–This type of control effects corrections as they are needed. It does not predict them. When the process under control deviates from acceptable limits, concurrent control steps in and corrects problems as they occur. When you walk, you constantly monitor your stride and balance to avoid falling. This is concurrent control.

Ž Feedback control–Feedback control fixes a problem "after the fact." For instance, a defense contractor who discovers during final testing that a component has a defective design must scrap the production run and fix the problem. The contractor may lose money on that one production run, but that is better than a congressional investigation for sending defective parts to the fleet.

There are as many ways of attaining control as there are managers! Even standard control methods are personalized by individual managers to suit personal inclinations and individual situations.

METHODS OF CONTROL

Control techniques or methods are generally described as either quantitative or nonquantitative.

Quantitative Methods

Quantitative methods use data and various quantitative tools to monitor and control production output. Two common quantitative tools are budgets and audits. By far the most widely recognized quantitative tool is the chart. Charts used as control tools normally contrast time and performance. The visual impact of a chart often provides the quickest method of relating data. A difference in numbers is much more noticeable when displayed graphically. Most charts are versions of either the Gantt chart or the Program Evaluation and Review Technique (PERT).

BUDGETS. –By far the best known control device is the budget. Budgets and control are, in fact, synonymous. An organization's budget is an expression in financial terms of a plan for meeting the organization's goals for a specific period. A budget is an instrument of planning, management, and control. We use budgets in two ways. First, we use them as established facts that must be factored into our operational planning. Second, we use them to prepare narrative descriptions and financial information that our chain of command uses in its annual request and management of its funds. At present, the Department of the Navy (DON) uses two major budget systems. These are zero-based budgeting (ZBB) and the planning, programming, and budgeting system (PPBS).

AUDITS. –Internal auditing provides an independent review and appraisal of accounting, financial, and other nontactical operations. As a management tool, the audit measures and evaluates the effectiveness of management controls. The Naval Audit Service provides an independent audit of programs, activities, systems, and procedures. It also provides an independent audit of other operations involving the use of funds and resources and the accomplishment of management goals. Budgets and audits are addressed in detail in *Financial Management in the Navy*, NAVEDTRA 10792-E.

Nonquantitative Methods

Nonquantitative methods refer to total or overall control of performance rather than specific processes. These methods use tools such as inspections, reports, direct supervision, and performance evaluation/counseling to accomplish goals.

TOTAL QUALITY LEADERSHIP

The DON has recently adopted the concept of Total Quality Leadership (TQL) as the means of meeting DON needs into the 21st century. Executive Order 12637, signed April 27, 1988, establishes the Productivity Improvement Program for the federal government. TQL IS THE NAVY'S ANSWER TO THIS ORDER.

The concept behind TQL revolves around a change from leadership by results to leadership by process (quality) improvement. The manager's task is to continually improve each and every process in his or her

organization. This means combining quantitative methods and human resource leadership techniques to improve customer-supplier relations and internal processes. This cultural change in leadership practices has certain basic elements:

- Leaders must clearly state the organization's mission. This is stated clearly and made available to all employees, suppliers, and customers. A clear, public-mission statement prevents individuals from generating their own definitions of work priorities.
- Leaders and supervisors must ensure their actions clearly support the organization's mission. This support includes setting priorities and assigning tasks.
- Leaders must focus their efforts toward a common goal. This focus is an important part of team building.
- Leaders must make a long-term commitment to quality improvement. Individual leaders must set an example by providing consistent, focused leadership.

LEADERSHIP INVOLVEMENT

The essential ingredient of TQL success is leadership involvement. Management controls the process that accomplishes the mission. Quality, however, is in the hands of the workers who do the job. Management, therefore, has the responsibility to drive out the natural fear of change and innovation that is part of most people's basic psychology. TQL requires support from the top down. This does not mean the department head level. TQL must start with SECNAV/CNO-level support and be supported and implemented all the way to the bottom of the chain of command. From admiral to deck seaman, TQL requires a total effort.

A popular myth among military leaders holds that increased quality results in increased costs and decreased productivity. In reality, improved quality ultimately results in decreased costs and increased productivity. How can this be? A focus on quality extends the time between failures of equipment and improves the efficiency of our operations. It reduces rework requirements as well as the need for special waivers of standards. It also reduces mistakes and produces monetary savings through more efficient use of scarce resources.

Direct benefits of TQL are as follows:

- Increased pride of workmanship among individual workers
- Increased readiness
- Improved sustainability due to extended time between equipment failures
- Greater mission survivability
- Better justification for budgets due to more efficient operations
- Streamlined maintenance and production processes

SUBORDINATE CONTRIBUTION

The focus of TQL is the process by which work gets done. The person most familiar with this process is the individual worker responsible for making it work. Often, a process is either unwieldy or just plain unworkable. In a rigid bureaucracy, for workers to persuade upper levels of a need to change a procedure is nearly impossible. Under TQL, leadership is responsible for making the job as easy as possible for workers. Supervisors and leaders should monitor the work process and be responsive to suggestions from the work force concerning unworkable procedures. Sailors in particular are infamous for coming up with nonstandard (but workable) solutions to problems. In some cases, this results in unsafe practices. However, these solutions are often extremely practical. We must develop the ability to ferret out these improvements and incorporate them into standard procedures. This serves a dual purpose. First, it ensures the recommended improvement is usable and meets all applicable standards. Second, the improved method is made available to everyone involved in that process. This is a practical application of "working smarter, not harder."

TQL achieves results by focusing on the procedures and processes that get the work done. Under TQL, leadership must strive continuously to improve the work process. The primary emphasis of this effort is the prevention of defects through quality improvement rather than quality inspections. Quality cannot be inspected in, it must be managed in from the beginning. Conforming to established specifications is only part of quality improvement. Leaders must not be satisfied with minimum standards. As standards are met, we, as leaders, must look for new ways to improve our product. Find the means to further tighten standards and improve quality. That is your job.

MOTIVATION

Motivation is the primary job of leaders. Motivation means leaders must develop the art of getting individuals or groups to work together to achieve a goal. At the same time, the leaders must also work to achieve their own goals. Good leaders are aware of the personal goals of their crew and use this knowledge to motivate them toward mission accomplishment.

Aside from mission accomplishment (or productivity), motivation has several other objectives. Other motivational concerns of a leader are retention and advancement. Solid leadership produces an atmosphere of team effort. The camaraderie experienced by members of a successful team contributes to a feeling of job satisfaction. Although other inducements may cause sailors to reenlist, job satisfaction is a major incentive.

Pay increases come only through the medium of advancement. However, recognition and prestige are important motivators that can be employed at any level of supervision or management. Napoleon Bonaparte said "Give me enough medals and I'll win you any war." Although medals may not be appropriate in every instance, some form of recognition is better than none at all. Do not hesitate to praise good work. A pat on the back or letter of appreciation costs nothing but can reap huge benefits in morale. High morale and productivity go hand in hand. A worker who feels appreciated will be more likely to continue to perform at a high level than one whose efforts are ignored.

Skill and ability are of little use if your workers are not motivated to work. Senior and master chiefs are responsible for motivating their people to perform. The best way you can do this is by making sure your people get off on the right foot. Motivation should start as soon as a person reports aboard.

Show concern for your workers' personal welfare. Encourage them to make use of recreational, spiritual, educational, and welfare facilities available to them. Each worker needs to feel valued both as a person and as a member of the armed forces. Confirmation of this personal worth must come from each person's chain of command. That means you.

NEGATIVE MOTIVATION

You may, at times, resort to fear to motivate your workers. Fear activates such negative incentives as threat of punishment or restriction of personal needs. Negative motivation, however, often destroys morale; and effectiveness will decline as morale declines. Long-term or frequent use of negative motivation is self-defeating. Negative incentives are used as a last resort, but you should first study the situation carefully to try to avoid them.

POSITIVE MOTIVATION

Workers are far more effective when morale is high. High morale is an indicator of the positive motivation felt by your personnel. One of the factors in high morale is a sense of mission-knowing where they, as individuals, fit into the overall effort and feeling good about it. This feeling enhances their motivation to cooperate and "go the extra mile."

Whenever possible, keep your people informed on mission goals and progress. Many workers are far removed from the results of their labor.

TEAM SPIRIT

Team spirit exists in an atmosphere of positive motivation and high morale. You can do three things to help promote team spirit. First, try to identify with your workers. Know and understand their problems and try to relate them to your own personal experiences. Second, keep communication lines open. Insist on use of the chain of command wherever appropriate; involve their individual supervisors in their problems, but make sure they understand that you are available. Third, consider your workers' opinions when making decisions. If group participation is feasible, get their input when making changes that will affect them.

SUMMARY

The leadership process is not a simple matter of a supervisor being oriented toward people or toward the Navy's mission. It is, instead, a combination of critical factors. Superior leaders are proficient in their job and committed to the Navy's mission as well as to the welfare of subordinates. Troops will look to these leaders as an example of honesty, courage, and loyalty. These leaders' people have a clear understanding of their place in the overall mission of their command and the Navy. Top leaders understand the sources and uses of authority and power. They delegate tasks appropriately and avoid micromanaging their subordinates.

Leaders must insist on observance of the chain of command. Failure to follow this most basic rule causes confusion, hard feelings, and low morale. In support of their chain of command, leaders must give orders in a

clear, definite manner. They should pass along an order as though it were original, not attach the name of the superior who actually originated the order.

A leader's primary responsibility is the motivation of subordinates. Motivation means instilling the will to work. This starts the moment workers report aboard and continues until they transfer. Each individual is motivated by specific factors. These factors fall into general categories such as personal needs, job satisfaction, and a sense of belonging. One of the best motivators is job satisfaction. Keeping people employed on essential jobs and generating a sense of teamwork help promote this feeling.

A good leader will not hesitate to correct deficiencies, but will observe the adage "praise in public, correct in private." When your workers make an error, show them the same consideration you would like to receive. Public embarrassment may well cause them to quit trying to excel for fear of another failure.

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